

# Regional Fisheries Livelihoods Programme Baseline Guidance

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## SECTION 1: INTRODUCTION TO THE GUIDANCE

The Regional Fisheries Livelihoods Programme RFLP, which began activities in September 2009, is funded by Spain (US\$ 19.54 million) and will operate for 4 years in Cambodia, Indonesia, Philippines, Sri Lanka, Timor-Leste and Viet Nam. RFLP management, including the Regional Manager and the Technical Advisor are based in the FAO Asia and the Pacific Offices in Bangkok, Thailand; while each country will have a national RFLP office located in the main area of RFLP geographic focus.

The RFLP outcome will be:

*‘Strengthened capacity among participating small-scale fishing communities and their supporting institutions towards improved livelihoods and sustainable fisheries resources management’.*

Major RFLP outputs will be:

- Co-management mechanisms for sustainable utilization of fishery resources;
- Improved safety and reduced vulnerability for fisher communities;
- Improved quality of fishery products and market chains;
- Diversified income opportunities for fisher families;
- Facilitated access to microfinance services for fishers, processors and vendors; and
- Regional sharing of knowledge in support of livelihood development and reduced vulnerability for fisher communities and of sustainable fisheries resource management.

The RFLP commenced activities on 01 September 2009.

As part of the RFLP staff capacity development programme the national staff participated in a 6-day workshop (April 2010, Phuket, Thailand). At this workshop, the RFLP teams developed a Sustainable Livelihoods Framework and Principles for the programme; developed indicators for the programme level outputs; and identified information requirements for the RFLP baseline survey based on the programme outputs. The contents of this guidance reflect the outcomes of discussions between the RFLP national teams at this workshop.

### 1.1 PURPOSE AND SCOPE OF THE RFLP BASELINE SURVEY GUIDANCE

This guidance is designed for the RFLP national teams, to support their implementation of the RFLP baseline surveys and subsequent efforts for monitoring and evaluation. This guidance is structured around the following sections:

**Section 2 - The RFLP planning framework:** Providing an illustration of the project planning hierarchy and a description of the programme level outcome and output indicators;

**Section 3 - The purpose, process and information requirements for the RFLP baseline survey:** Providing teams with the basis for planning their activities to implement the baseline survey.

This guidance does not address the national level output and activity baseline information requirements. The RFLP teams in each country will need to integrate these requirements with the regional level requirements.

## SECTION 2: THE RFLP PLANNING FRAMEWORK

This section provides an illustration of the project planning hierarchy. This demonstrates how the activities at the community and national level will contribute to the outputs and outcome at the programme level. The second part of this section introduces the programme level outcome and output indicators (which are given in full in Annex 1).

### 2.1 RFLP PLANNING HIERARCHY

The RFLP covers six countries in South and South-East Asia. The overall planning framework is illustrated in figure 1. This framework has several layers which combine the regional level aspirations relating to the more general project impacts, and the national and community level outputs and activities which reflect the practical implementation requirements. Each of the levels is described in more detail below:

#### 2.1.1 RFLP OUTCOME

The RFLP Outcome is defined as:

*Strengthened capacity among participating small-scale fisher communities and their supporting institutions towards improved livelihoods and sustainable fisheries resources management*

This outcome articulates the changes that the RFLP is hoping to bring about at both a regional level and a national level.

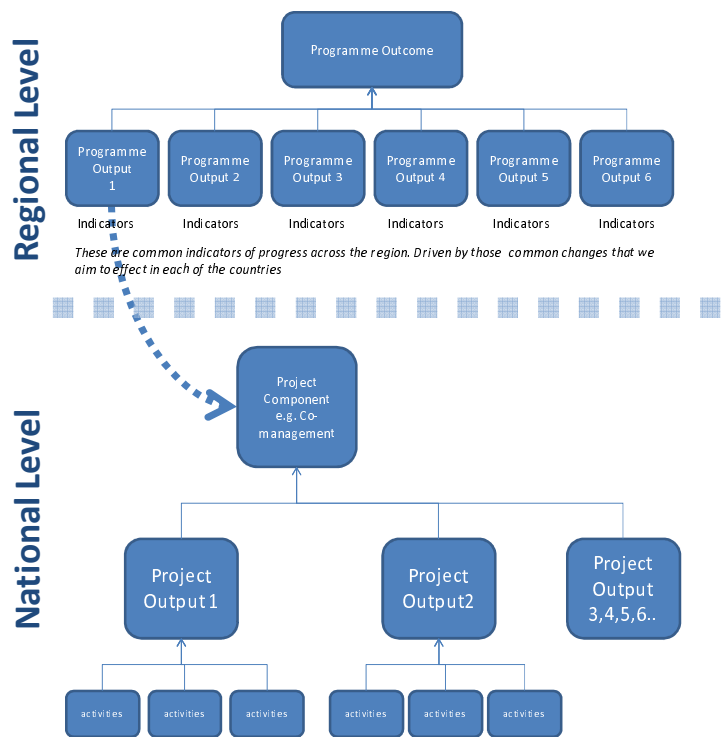


Figure 1: RFLP Planning Framework

## 2.1.2 RFLP PROGRAMME LEVEL OUTPUTS

In order to achieve the programme outcome the RFLP is focused on producing five outputs<sup>1</sup>. These are described in table 1 alongside vision statements for each of the outputs. The vision statements were drafted by the RFLP teams as a way of creating a common sense of direction for each output, across the six countries. The visions illustrate a state in the future where people were experiencing the best of times with respect to each output. They are not an expression of what the RFLP will achieve rather an expression of what the activities of the RFLP will contribute towards.

Table 1: RFLP Programme Level Outputs and Visions	
RFLP Programme Level Output	Vision
Co-management mechanisms for sustainable utilization of fishery resources	Key Stakeholders, in particular fishers and government departments share the responsibilities and benefits from sustainably managed resources. Fishers have voice and influence in decision making and are working together to manage their resource.
Improved safety and reduced vulnerability for fisher communities	Communities, controllers (enablers) and service providers, who are aware, have the knowledge and tools to mitigate the effects of and respond to safety issues. We see actors with increased confidence to carry out their livelihood activities and who have reduced vulnerability at work and home. People have capacity to cope with and recover from natural hazards.
Improved quality of fishery products and market chains	Sustainable development of post-harvest and marketing of fishery products through which access to markets by both fishers and consumers have increased, losses have reduced making the industry profitable and consumer satisfaction has been enhanced. Government and service providers are responsive to needs.
Diversified income opportunities for fisher families	Fisher families have strengthened livelihoods and have enhanced confidence, skills and initiative to take new opportunities to diversify their livelihoods or to take up alternative income generation activities. The fisher families have support from responsive service providers and live and work within an enabling policy environment.
Facilitated access to microfinance services for fishers, processors and vendors	Fishers have developed their capabilities to be bankable through appropriate training, saving mobilization, installing credit consciousness and self help. Government and private sector institutions are providing financial services appropriate to the needs of coastal fisher households.

<sup>1</sup> A sixth output is “Regional sharing of knowledge in support of livelihood development and reduced vulnerability for fisher communities and of sustainable fisheries resource management”. This output is not covered in this guidance as it will be largely driven from the regional programme office in FAO RAP Bangkok.

### 2.1.3 RFLP NATIONAL LEVEL PROJECT COMPONENTS

The national level project components reflect the 5 Regional Programme Outputs (as described above). As such they provide the direction for the output and activity planning within each of the countries.

### 2.1.4 RFLP NATIONAL LEVEL OUTPUTS AND ACTIVITIES

Throughout the RFLP inception phase, within each of the countries, specific outputs and activities have been identified under each of the project components. While there are commonalities between countries the programmes have been developed to suit the local and national contexts. The national level outputs and activities are described in the national work plans.

## 2.2 RFLP TARGETS AND INDICATORS FOR CHANGE

Indicators of progress and impact have been developed at the different levels of the planning hierarchy. The RFLP country teams will need to incorporate the impact indicators (developed at the regional level) with their specific outputs and activity measures (developed at the national level). Table 2 provides a summary of the different indicators that will be incorporated into the system for monitoring and evaluation.

Planning Level	Level of Indicators		Inclusion in RFLP Baseline Survey	Notes
	Regional	National		
Programme Outcome	✓	*	Yes	Defined at the <i>regional level</i> and shaped to suit national context
Programme Outputs	✓	*	Yes	Defined at the <i>regional level</i> and shaped to suit national context
National project outputs	*	✓	Yes	Based on <i>nationally defined</i> activities and outputs
Activity Milestones	*	✓	No	Will be defined as a result of the baseline survey at national level.

The Regional Level Programme Outcome and Output indicators are presented in Annex 1. These indicators provide the drivers for the information requirements in the baseline survey (see section 3), for this level. Where appropriate, these indicators will need to be quantified as part of the baseline surveys and agreed with the regional programme management team.

The RFLP national teams should note that the baseline survey design will need to incorporate the information requirements for all of these different indicators.

## 2.3 RFLP GOOD PROCESS PRINCIPLES

The RFLP has a great deal of potential to make a very positive contribution to small-scale fisheries and fisheries livelihoods across the region. However, this potential can only be fully achieved if the quality of delivery of project outputs and activities is consistently high. Therefore, it is essential that the RFLP national teams take time to discuss not only the progress and impacts of the work but also the quality of the process. This will help them to learn the lessons that will help them to improve the effectiveness of the activities that they are delivering. Annex 4 contains a checklist, based on the principles of good process (see below). The checklist is designed to be used by the RFLP country teams as a framework for discussing the quality of the RFLP process at their regular planning meetings.

The principles of good practice for the RFLP were identified by the national teams at the RFLP Livelihoods and Baseline Survey Design training workshop in April 2010. They are as follows.

- a. The RFLP activities will be designed to promote **empowerment** within the project fishing communities.

Any action aiming at promoting sustainable fisheries livelihoods of the poor should aim to empower the poor by increasing their **voice** and **influence** and give them greater **choice** about how they make a livelihood for themselves and their households.

- b. The RFLP will work as a **partner** in promoting strengthened fisheries livelihoods across the region.

Interventions that are empowering are likely to be implemented using **participatory approaches**, with their intended “beneficiaries” or “target groups” playing at least an equal role in both identifying what sorts of interventions are appropriate and in managing their implementation. This means that development agencies are more likely to adopt a more **facilitating** role, sharing the responsibility for implementation with the people who are they are working with.

- c. The RFLP will use the **strengths and potential** of the people and institutions that it is working with as the starting point for its development efforts.

**Building on people’s strengths** is an essential part of empowerment. The RFLP teams should aim to build on the **strengths** of the people they are working with (and not just satisfy their needs and give them what they lack). This is very important. Everyone, even the poorest of the poor, has particular capacities or strengths and these should become the starting point for working towards sustainable, positive change. The approach commonly taken in the past of providing the poor with the things they lack or need has constantly been shown to create dependency and unsustainable development.

- d. The RFLP will put **people at the centre** of its plans and actions.

People, with their characteristics, their capacities, their differences, their priorities, and their concerns, should always be at the centre of every intervention. This means that any action for change must focus on what matters to the **people at the centre** of the intervention and appreciate the fact that different interventions are liable to be appropriate

for different people.

e. The RFLP will promote sustainable fisheries livelihoods in a **holistic way**.

Being **holistic** in development interventions means being aware of the complexities of people's livelihoods and the complexities of poverty. It doesn't necessarily mean trying to address all those complexities, but it does mean understanding how the different aspects of people's livelihoods, and **actions at different levels, are linked** and can affect each other.

Development interventions should not try to address all the different issues. The decision about how to support these different complex aspects of poverty and people's livelihoods is strategic. A key part of any strategy should be **developing linkages** with other service providers (both between service providers and between the service providers and the end users).

f. The RFLP will provide a framework at regional level that enables a clear sense of direction while allowing **flexible and adaptable** approaches to building fisheries livelihoods at national and local levels.

No one approach can be applied as a blue print for all development challenges. RFLP teams should always look to shape the process so that it responds to the local social, cultural, economic, environmental and institutional context.

g. The RFLP outputs and activities will be designed in a way that is **sensitive and responsive to the traditional cultures** of the six countries.

The particular culture in which people live will strongly influence the way in which they are able to make a livelihood. Even where extreme examples of cultural influence are not apparent to outsiders, culture is always an important influence on people's livelihoods.

External agencies need to shape their development interventions to reflect cultural context.

h. The RFLP will operate in a way that is **transparent and accountable** to the donor, national governments and the people who it is trying to help.

Where programmes deliver aid resources to governments and communities they should be accountable for the actions that they take. They must also be accountable to the donors who have committed money to what they consider to be a worthy cause. This accountability can only exist in a meaningful way where there is transparency in the relationship. Helping the people to see how and why they have arrived at decisions is key to this.



## SECTION 3: THE PURPOSE, PROCESS AND INFORMATION REQUIREMENTS FOR THE RFLP BASELINE SURVEY

This section provides the RFLP teams with guidance about the baseline survey design. Firstly it describes the purpose of the baseline survey, defining this within the wider project efforts and linking it to the ongoing efforts for monitoring and evaluation. The skills required for the baseline survey are then outlined; followed by an overview of the key tasks for the project teams. The section is completed with an overview of the baseline information requirements for the programme level outputs.

### 3.1 PURPOSE OF THE RFLP BASELINE AND MONITORING AND EVALUATION SYSTEM

The primary purpose of the baseline study is:

*“To collect the data which will form the basis for programme monitoring and evaluation”.*

However, the baseline survey is likely to be the first opportunity for the field teams to introduce the RFLP to “beneficiary” communities. It provides a chance for the project team to set the right tone for project delivery and it represents a considerable investment of project time and resources. Therefore, the RFLP teams should seek to maximize the benefits from the baseline for the wider project. The baseline survey should additionally provide the following functions:

- Introduce the RFLP to communities and supporting institutions;
- Provide beneficiaries with an opportunity to influence the design and direction of RFLP activities.

A sound baseline survey is needed to establish an effective RFLP monitoring and evaluation system. With this in mind the teams implementing the baseline should do so with the understanding that the M&E system will be set up to:

- Measure impact, assess progress, and create conditions to allow adaptive project management;
- Involve stakeholders in learning, thus building and maintaining commitment to the project;
- To learn lessons and improve how the project is implemented;
- Highlight successes for the RFLP teams, national governments and target communities;
- Track inputs for audit.

With this in mind the RFLP teams will need to carefully plan not only how they can collect the information in a way that promotes joint learning (between the project and beneficiaries) but also how the information is presented once collected. A wide diversity of stakeholders will be interested in the results including governments, project beneficiaries, donors and other development workers.

### 3.2 SKILLS FOR THE BASELINE

The RFLP is an inter-disciplinary fisheries development programme. Therefore, it is critical that the team who undertakes the baseline survey has interdisciplinary research skills needed to integrate a wide array of information. The team will need experience and knowledge in the following:

- Project management
- Monitoring and evaluation
- Process planning
- Sustainable livelihoods
- Participatory approaches
- Community mobilization
- Meeting facilitation
- Institutional analysis
- Fisheries co-management
- Safety at sea
- Post-harvest fisheries
- Livelihood enhancement and diversification
- Micro-finance
- Fisheries resource assessment

### 3.3 KEY TASKS FOR THE RFLP FIELD TEAMS

In designing the RFLP baseline survey, and in conjunction with technical experts, the survey teams will need to complete a number of critical steps:

1. Finalise agreement with key RFLP regional management around the project indicators for impact and activities including:
  - SMART indicators (see box 1), disaggregated by sex for all activity milestones;
  - Success indicators for the 5 RFLP programme level outputs.
2. Finalise the process and methods for collecting the different types of information required for the baseline survey including:
  - The different types of data, the sampling framework and survey design to collect the data required to assess progress against activity milestones, and progress and impact against the 5 RFLP output indicators;
  - Sampling frequency and responsibilities of key staff/people from the different groups involved in the M&E process;
  - Data entry, analysis and reporting methods.
3. Develop the baseline survey materials ( e.g. focus group discussion formats, questionnaires, etc.) and revising as necessary based on field testing;
4. Prepare and present a plan of action (either as a combined plan for all 5 RFLP outputs, or as separate outputs) for conducting the baseline survey, to senior key staff from RFLP and national

**Box 1: Qualities of Output and Activity Indicators**

**S***pecific* – clear, simple, single items of information;

**M***asurable* – items that can be reliably quantified;

**A***ttainable* – data that is easily and cost effectively gathered and available for the duration of the activity;

**R***elevant* – to the goal, objectives and outcomes of the activity; and

**T***imely* - the data can be collected and analysed quickly enough to be useful in activity management.

government, covering survey design and sampling methodology, resources required and mobilization, staff, time frame and budget;

5. Modify the plan and survey in response to feedback from senior key staff from RFLP and national government;
6. Implement of the baseline survey;
7. Analyse and document the baseline information;
8. Present the baseline survey findings to FAO, national government and other key project stakeholders; and,
9. Modify, finalize and submit the baseline survey report findings to the FAO RFLP management team and national government.

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### 3.4 BASELINE INFORMATION REQUIREMENTS

The baseline survey will require collection of information from a wide diversity of sources reflecting the very complex challenges of the RFLP. These include:

- Existing secondary data sources (e.g. published statistics covering areas such as demography, employment, land sizes, licensed fishers and fish farmers, fishing seasons, project reports, research papers, national statistics and government departmental data);
- Baseline / livelihoods information from past and current fisheries and aquaculture development projects;
- Information derived from community level research carried out by the baseline consultants;
- Information from interviews with government staff;
- Policy and institutional analysis;
- Information from control communities (where RFLP isn't targeting).

The teams will need to use a variety of different techniques (participatory, qualitative and quantitative) to collect this information.

Annex 2 provides details of the information required for the baseline survey. The information requested covers a wide range of areas and in some cases it may not be practicable to collect all of this information as has been specified. The teams will need to be flexible about the practicability of collecting baseline information and they will need to design their survey to reflect the resources, time and skills available. In some cases this may require the indicators to be modified. Or it may need revising of the timescales for finalising the baseline report.

Annex 3 provides an overview of tools for participatory monitoring and evaluation that may help the RFLP teams.

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### 3.5 MAINSTREAMING GENDER AND MARGINALISED GROUPS

The important involvement of women in natural resource-based livelihoods and resource management has long been acknowledged, but rarely been valued equally with the contribution of men. This disparity has been recognised from the start of the RFLP and measures have been taken to ensure that gender is “mainstreamed” throughout the programme activities.

To support the process of gender mainstreaming where possible the **RFLP baseline information and indicators of impact and action should be disaggregated** to reflect the numbers and quality of participation by women in the RFLP project.

On a very similar basis, it is important for the RFLP teams to respond to the wide diversity of people in the target communities. Special efforts will need to be made to engage the very poorest and marginalised groups. Different groups (for example the very old, widows, ethnic minorities or the disabled) will be excluded from development processes in different ways. It may take extra time and resources to engage with these people. However, it is critical that these groups are identified from the outset and their confidence and skills to participate are strengthened. Where the poorest are excluded from development they are the ones most likely to suffer from the adverse consequences that the changes can bring.

Where participatory exercises are planned teams should **ensure that women and marginalised groups are provided an opportunity to participate** (perhaps in specific female groups), and that the teams themselves have an appropriate gender and ethnic balance.

## ANNEX 1: RFLP PROGRAMME LEVEL OUTCOME AND OUTPUT INDICATORS

NOTE: Where possible teams should ensure that the information collected for each of the indicators is disaggregated by gender to demonstrate the levels and quality of participation of women in the RFLP.

### RFLP PROGRAMME OUTCOME

PROGRAMME OUTCOME	MEASURE OF IMPACT
Strengthened capacity* among participating small-scale fisher communities and their supporting institutions towards improved livelihoods and sustainable fisheries resources management	<ul style="list-style-type: none"> <li>Capacity increased in every country by at least x% compared with baseline values established during the Inception Phase</li> <li>Institutional (central and local government and relevant NGOs/CBOs) budgets and numbers of staff supporting small-scale fisheries increases in project areas in every country by at least x% for budget and y% for staff compared with baseline values in year 1</li> </ul>

\*Capacity needs to be defined by the RFLP management team.

### PROGRAMME OUTPUT 1: CO-MANAGEMENT

MOST SIGNIFICANT CHANGE BROUGHT ABOUT BY THE RFLP	PERFORMANCE QUESTION	MEASURE OF PROGRESS AND IMPACT
Policies and processes strengthened to support the benefits of co-management.	<ul style="list-style-type: none"> <li>What new policies or changes to existing policies (that strengthen co-management) have been made?</li> <li>What systems for conflict resolution been established or improved?</li> <li>To what extent are the community members and fisher groups more aware of and active in the process of influencing the new, or modified, policies and management measures?</li> </ul>	<ul style="list-style-type: none"> <li>A total of at least x co-management mechanisms* have been established / improved in the project areas in the six countries.</li> <li>Acceptance, by fishers, of the legitimacy and potential of the formal management process (as measured by a scorecard) increased by year 2 and again in year 4.</li> <li>Recognition, by government departments, of the effectiveness of policies to support co-management.</li> </ul>

<p>The roles and functions of key fisheries stakeholders (including fishers, fisher households, processors, traders, managers etc.) in the community have been improved to more effectively manage resources sustainably</p>	<ul style="list-style-type: none"> <li>• How have the roles and functions of fisheries stakeholders, involved in management decisions, become more effective?</li> <li>• How have the fisheries resources benefited from the changes in management?</li> <li>• What, who and how have the management changes influenced within the community?</li> <li>• How have the changes practically benefited the lives of the fishers?</li> </ul>	<ul style="list-style-type: none"> <li>• Increase of the levels of participation (by fishers, traders and processors) in resource management over time. Set against an agreed scale (e.g. ladder of participation)</li> <li>• The extent to which fisher's and their household members outlook and actions have improved to strengthen fisheries management and development.</li> <li>• Perceptions of fishers and resource managers relating to the status and availability of fisheries resources indicate improvements by year 4.</li> </ul>
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*\*Co-management mechanisms are defined as the policies, strategies and institutions that are established to implement/ strengthen co-management.*

## PROJECT COMPONENT 2: SAFETY AT SEA

<b>MOST SIGNIFICANT CHANGE BROUGHT ABOUT BY THE RFLP</b>	<b>PERFORMANCE QUESTION</b>	<b>MEASURES OF PROGRESS AND IMPACT</b>
<p>Fishers, fisheries managers, and emergency response agencies accessing and using safety at sea information</p>	<ul style="list-style-type: none"> <li>• To what extent and what kind of information is being used by the key stakeholders for safety issues– and how has this changed?</li> <li>• What are the sources and types of data preferred by the stakeholders?</li> </ul>	<ul style="list-style-type: none"> <li>• 80% of relevant government staff and key stakeholders aware of and using the safety at sea information systems by the end of the project.</li> <li>• The percentage of fishers demonstrating adequate knowledge of safety at sea measures increased by x% by year 3</li> <li>• Perceptions of the fishers that they have improved the way they access and use safety information as a result of the project?</li> </ul>
<p>Legal framework adapted and applied for boat construction. Communities have improved safety practices and so have reduced vulnerability in coastal areas</p>	<ul style="list-style-type: none"> <li>• What safety regulations were adopted in the communities?</li> <li>• How many boats were built in accordance to the safety regulations?</li> </ul>	<ul style="list-style-type: none"> <li>• The percentage of boats / fishing operations meeting basic safety standards across all pilot sites increased to x% from the baseline value by project year 4.</li> </ul>
<p>Communities have the capacity to link to and access early warning systems together with the coast</p>	<ul style="list-style-type: none"> <li>• To what extent do fishermen accept the importance of reporting accidents?</li> <li>• How many accidents were reported and how many rescue operations were</li> </ul>	<ul style="list-style-type: none"> <li>• By the middle of the second year accidents are being systematically reported in target communities.</li> <li>• By the end of the 4<sup>th</sup> year perceptions of fishers and community members about number and severity of accidents indicate a decline.</li> </ul>

guard, police, navy, mass media and other emergency response agencies.	conducted with cooperation across rescue services (police, navy, media etc.)?	
Communities and stakeholders have the confidence to deal with safety issues and undertake disaster preparedness measures.	<ul style="list-style-type: none"> <li>How have the level of confidence and attitudes of the communities with respect to safety at sea and disaster preparedness changed?</li> <li>What facilities are there for communities related to disaster preparedness systems in use?</li> </ul>	<ul style="list-style-type: none"> <li>An increase in x % (above baseline) of people who developed awareness, confidence and changed attitude to perform disaster preparedness and improved safety actions in coastal areas.</li> </ul>

### PROGRAMME OUTPUT 3: POST-HARVEST FISHERIES

<b>MOST SIGNIFICANT CHANGE BROUGHT ABOUT BY THE RFLP</b>	<b>PERFORMANCE QUESTION</b>	<b>MEASURES OF PROGRESS AND IMPACT</b>
Fishers are using their skills, knowledge and facilities within the community for the sustainable development of post-harvest fisheries and marketing of fisheries products	<ul style="list-style-type: none"> <li>What skills have been learned?</li> <li>What facilities are available and being used?</li> <li>To what extent and in what ways have fishers, traders and processors put in practice their newly learned post-harvest skills?</li> </ul>	<ul style="list-style-type: none"> <li>The % of fishers, in target communities, demonstrating adequate knowledge of quality improvement measures improved by x% through the programme.</li> </ul>
Post-harvest losses have been reduced	<ul style="list-style-type: none"> <li>To what extent has the quality of fish handling, processing and storage been improved?</li> </ul>	<ul style="list-style-type: none"> <li>% of fish in selected market chains meeting agreed national quality standards for human consumption increased by x% above the baseline level by year 4.</li> </ul>
Consumers satisfaction has been increased in terms of quality and accessibility of products	<ul style="list-style-type: none"> <li>To what extent do consumers eat more fish products?</li> <li>In what ways do more people have access to fish?</li> <li>How do consumers think that the quality has improved?</li> </ul>	<ul style="list-style-type: none"> <li>Perceptions of fisheries, traders and consumers in target communities on the quality of fish products improved against baseline level by year 4.</li> </ul>
Fishers have more access and influence in the supply chain	<ul style="list-style-type: none"> <li>How has the fishers influence on the market chain increased the price of fish</li> </ul>	<ul style="list-style-type: none"> <li>Fishers have increased their influence over the market chain as defined in the participatory value chain analysis by project year 4.</li> </ul>

	in the market?	
Government capacity to support post-harvest fisheries enhanced	<ul style="list-style-type: none"> <li>How has the government improved its support for post-harvest fisheries?</li> </ul>	<ul style="list-style-type: none"> <li>Government funding and staff resources for fisheries post-harvest increased by x% by project year 4.</li> </ul>

#### PROGRAMME OUTPUT 4: LIVELIHOOD ENHANCEMENT AND DIVERSIFICATION

<b>MOST SIGNIFICANT CHANGE BROUGHT ABOUT BY THE RFLP</b>	<b>PERFORMANCE QUESTION</b>	<b>MEASURE OF PROGRESS</b>
Existing livelihoods enhanced and opportunities for different activities introduced and supported to create more and better opportunities for livelihood development	<ul style="list-style-type: none"> <li>How have fishers incomes increased from enhancement and diversification activities?</li> <li>How many households have taken up new activities or improved what they are already doing?</li> </ul>	<ul style="list-style-type: none"> <li>Fishers and household members have a strengthened a conviction that changing their livelihood is both necessary and possible.</li> <li>Fishers and household member's assessment of the factors that have improved or reduced their ability to improve the quality of their livelihoods documented in year 3 and 4.</li> <li>% of fishers and household members in pilot communities who feel they have improved their way of life increased by year 4 above baseline levels.</li> </ul>
Improved capability of service providers and policy makers in order to support livelihood enhancement and diversification	<ul style="list-style-type: none"> <li>What are the forms of support provided to both create the opportunities and help people to access them?</li> <li>How has the support improved?</li> </ul>	<ul style="list-style-type: none"> <li>Perception of capacity of service providers improved by the end of the project.</li> <li>Fisher households awareness of and access to supporting services increased through the project</li> </ul>

#### PROGRAMME OUTPUT 5: MICRO-FINANCE

<b>MOST SIGNIFICANT CHANGE BROUGHT ABOUT BY THE RFLP</b>	<b>PERFORMANCE QUESTION</b>	<b>MEASURE OF PROGRESS AND IMPACT</b>
Increased awareness of credit availability and in terms and saving mobilisation (increased savings)	<ul style="list-style-type: none"> <li>To what extent have people improved their awareness of financial services?</li> <li>How has this affected the way people access financial services?</li> </ul>	<ul style="list-style-type: none"> <li>Level of awareness of savings and credit facilities, rights, responsibilities has increased by x% above the baseline level.</li> </ul>



<p>Improved delivery of credit by government and private bankers or micro-finance institutions to fisher communities</p>	<ul style="list-style-type: none"> <li>• How has credit provision been improved for fishing communities?</li> </ul>	<ul style="list-style-type: none"> <li>• At least <math>x\%</math> of families in the pilot communities has increased their use of the financial services compared with the baseline value.</li> <li>• Fisher families have increased their confidence and willingness to utilise formal financial services by <math>x\%</math> by year 4.</li> </ul>
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## ANNEX 2: PROGRAMME LEVEL OUTPUTS – BASELINE INFORMATION REQUIREMENTS

This Annex outlines the baseline information requirements for each of the Programme Level Outputs.

### Programme Output 1: Co-management

- i. The current understanding and expectations of the concept “co-management” among each key stakeholder group (fishers, government department, policy makers).
- ii. The sorts of existing policies and institutions that support or inhibit co-management and identification of areas for strengthening (including policies on Gender Mainstreaming).
- iii. The attitudes and perceptions of fishers to formal and traditional management systems and conflict resolution systems.
- iv. Stakeholder practices in current management systems and recommendations for improvements.
- v. Current systems for conflict resolution – including details of how systems are currently used.
- vi. Stakeholder groups within fisheries pilot communities, including:
  - Gender roles and responsibilities within the target communities;
  - Livelihood diversity (including the very poor and marginalised) within the target communities;
  - The current numbers and types of stakeholder involvement in fisheries management.
- vii. The perceptions of fishers and resource managers relating to the state of the fisheries resources and allocation of benefits from fisheries.

### Programme Output 2: Safety at Sea

- i. The safety at sea information and disaster preparedness information that is currently produced.
- ii. The information on safety at sea that stakeholders (govt to community) use and how they access this.
- iii. The levels of awareness of fishers, their household members and government staff regarding safety at sea measures in fishing communities.
- iv. Current legal frameworks / guidance for safety at sea measures.
- v. Current levels of awareness / compliance with safety regulations.
- vi. Compliance with safety measures in boat construction and in the yards where they are constructed (including the availability of data on numbers and types of boat where recorded and available).

- vii. The systems for recording accidents and details of the numbers (where recorded and who is involved in reporting and recording).
- viii. The systems set up to coordinate responses to safety issues and disasters.
- ix. Perceptions of fishers and community members about numbers, causes and severity of accidents in targeted communities.
- x. The current disaster preparedness systems in use and the facilities in place to utilize.
- xi. The level of confidence of fishers to avoid accidents and if necessary to recover from them.

#### Project Output 3: Post-Harvest Fisheries

- i. The current levels of post-harvest skills, knowledge and practices.
- ii. Post-harvest facilities available and being used by fisher communities.
- iii. Quality of selected fish products in selected market chains against national (or international if needed) standards.
- iv. Current per capita consumption of fish locally and nationally (where figures or proxy figures exist).
- v. The distribution and use of fish and fisheries products from the project site in local and national markets.
- vi. Degree of perceived influence on the market by fishers and fish processors.
- vii. Existing policies related to post-harvest fisheries and institutions that influence post-harvest fisheries.
- viii. The knowledge and skills of the government staff with respect to post harvest fisheries.
- ix. Current levels of funding and staff deployed for post-harvest in project communities.

#### Project Output 4: Livelihood Enhancement and Diversification

- i. Current livelihood activities in pilot communities (including women and children).
- ii. Perceptions of prosperity of fishers and household members in pilot communities.
- iii. Attitudes towards changing or diversifying livelihoods in pilot communities.
- iv. Factors that seem to help or inhibit livelihood change in target communities.
- v. The availability of supporting services for livelihood enhancement and diversification available in pilot communities.

- vi. Fishers and their household member's perceptions and levels of satisfaction regarding the supporting services for livelihood enhancement and diversification available in the pilot communities.

#### Programme Outputs 5: Micro-Finance

- i. Levels of awareness and practices for accessing financial services in pilot communities.
- ii. Current formal financial services that are potentially (if not actually) available to communities.
- iii. Current levels of borrowing from rural banks, micro finance institutions or cooperatives.

### ANNEX 3: RFLP BASELINE RESEARCH TOOL BOX

The table presented in this section is designed to introduce to RFLP teams the sorts of tools that they may need to use to collect the information for the baseline survey. This is not a list of all tools that are available. The teams must consider that the methods suggested below will need to be pilot tested and refined to suit local social and cultural context.

Tool	What is it used for?	Example of Sources of Detailed Guidance ( <i>website references included for the first reference and not duplicated</i> )
Stakeholder Analysis	<p>Helps you to understand the diversity of livelihoods; define whom to try to involve when designing an M&amp;E system and it allows you to identify the information needs of the different groups.</p> <p>The analysis should provide the foundation and strategy for participation throughout the project.</p>	<p>IFAD: Monitoring for Impact in Rural Development  <a href="http://www.ifad.org/evaluation/guide/index.htm">http://www.ifad.org/evaluation/guide/index.htm</a></p> <p>FAO 1996: Participatory Analysis, monitoring and Evaluation for Fishing Communities  <a href="http://www.fao.org/docrep/009/w3596e/w3596e00.HTM">http://www.fao.org/docrep/009/w3596e/w3596e00.HTM</a></p> <p>IMM 2005: Post-Harvest Livelihoods Assessment Tool  <a href="http://www.imm.uk.com/DS/Open.aspx?id=73c135f6-5e6c-46a5-8b2e-ba88bc6712a8">http://www.imm.uk.com/DS/Open.aspx?id=73c135f6-5e6c-46a5-8b2e-ba88bc6712a8</a></p>
Questionnaires and Surveys	To gain data from a large number of people in a structured way according to specific questions, often in ways that allow for statistical analysis.	<p>IFAD: Monitoring for Impact in Rural Development</p> <p>Bunce et al (2000): Socio-economic manual for coral reef management  <a href="http://www.imm.uk.com/DS/Open.aspx?id=75c79550-827b-460c-95e4-74dabd2700f4">http://www.imm.uk.com/DS/Open.aspx?id=75c79550-827b-460c-95e4-74dabd2700f4</a></p>
Case studies	To document stories or a sequence of events over time related to a person, location, household or organisation in order to obtain insight into a projects impacts - for example how people deal with change and why change occurs in specific ways and to learn about peoples experiences, dreams and obstacles for future planning.	IFAD: Monitoring for Impact in Rural Development
Focus Groups	To use group discussions to collect general information, clarify details or gather opinions about an issue from a small group of selected people who represent different viewpoints.	<p>IFAD: Monitoring for Impact in Rural Development</p> <p>Bunce et al (2000): Socio-economic manual for coral reef</p>

Tool	What is it used for?	Example of Sources of Detailed Guidance ( <i>website references included for the first reference and not duplicated</i> )
		management
Participation Ladder	To make a relative comparison of “before” and “after” situations related to specific indicators. This method can be used to assess qualitative aspects related to, for example women’s self esteem, the participation of different groups or capacity strengthening.	The Guide to Effective Participation <a href="http://www.partnerships.org.uk/guide/index.htm">http://www.partnerships.org.uk/guide/index.htm</a> IFAD: Monitoring for Impact in Rural Development
Historical trends and timelines	To obtain a historical understanding of sequential changes that have occurred, relating to particular points of interest. From an M&E perspective this could focus on specific indicators, be used as a trigger for discussions to assess if changes can be attributed to project activities, and list changes in the context that help explain possible effects.	Bunce et al (2000): Socio-economic manual for coral reef management IFAD: Monitoring for Impact in Rural Development FAO 1996: Participatory Analysis, monitoring and Evaluation for Fishing Communities IMM 2005: Post-Harvest Livelihoods Assessment Tool
Most significant change	To identify cases of significant/critical changes both positive and negative – relating to key objectives, rather than looking for trends related to a certain phenomenon. From an M&E perspective this method can help to track stories of changes related to less easily quantifiable issues such as “capacity strengthening” or “gender equity”.	IFAD: Monitoring for Impact in Rural Development CARE 2005: Most Significant Change Technique – A Guide to its Use. <a href="http://www.mande.co.uk/docs/MSCGuide.pdf">http://www.mande.co.uk/docs/MSCGuide.pdf</a>
Institutional Linkage Diagram (venn diagram)	To illustrate the extent to which individuals, organisations, projects or services interact with each other and the relative importance (i.e. power dynamics) of each to the issue being evaluated. From an M&E perspective, this method can be used to monitor the quality of relationships and how these are being changed by the project.	IFAD: Monitoring for Impact in Rural Development Bunce et al (2000): Socio-economic manual for coral reef management IMM 2005: Post-Harvest Livelihoods Assessment Tool
Social Mapping or Well-being ranking	To identify households on the basis of predefined indicators related to socio-economic conditions. This concentrates on relative ranking of people’s socio-economic conditions (e.g. relatively well off and worse off), rather than absolute assessment. This can help assess which households are benefiting from the project and if these	IFAD: Monitoring for Impact in Rural Development IMM 2005: Post-Harvest Livelihoods Assessment Tool

Tool	What is it used for?	Example of Sources of Detailed Guidance ( <i>website references included for the first reference and not duplicated</i> )
	belong to the intended target group.	
Matrix scoring	<p>To make a relative comparison between different options of a specific issue or solutions to a problem, and to make a detailed analysis of how much and why people prefer one option to another.</p> <p>From an M&amp;E perspective this method can be used to understand people’s opinions on, for example, different type of project activities that are aiming to reduce a problem.</p>	IFAD: Monitoring for Impact in Rural Development
Fisherfolk record books	A record maintained by a selected group in the community. A fish landing book can be used to record what the group feels is important information about the fishing operations. It may include costs, landings, labour inputs etc.	FAO 1996: Participatory Analysis, monitoring and Evaluation for Fishing Communities <a href="http://www.fao.org/docrep/009/w3596e/w3596e00.HTM">http://www.fao.org/docrep/009/w3596e/w3596e00.HTM</a>
Community Environmental Assessment	Used to gather information in order to analyse the environmental effects of planned and/or completed activities. The tool provides a framework in which insiders can make observations and judge the value of the change.	FAO 1996: Participatory Analysis, monitoring and Evaluation for Fishing Communities <a href="http://www.fao.org/docrep/009/w3596e/w3596e00.HTM">http://www.fao.org/docrep/009/w3596e/w3596e00.HTM</a>
Value Chain Research	<p>Value chain research is about understanding the functioning of specific markets – e.g. services, information, knowledge and skills, innovation, etc. – within a value chain system, the role of specific market players (or groups) within this system and their relationship to others.</p> <p>From an M&amp;E perspective this can be used to understand how the relationships between actors have changed over the course of the project.</p>	<p>ILO(2009) Value Chain Development for Decent Work - <a href="http://www.ilo.org/wcmsp5/groups/public/---ed_emp/---emp_ent/documents/instructionalmaterial/wcms_115490.pdf">http://www.ilo.org/wcmsp5/groups/public/---ed_emp/---emp_ent/documents/instructionalmaterial/wcms_115490.pdf</a></p> <p>Practical Action – Market Chain Analysis <a href="http://practicalaction.org/energy/markets-and-livelihoods/docs/ia2/mapping_the_market_albu_griffith_se_dj-june2006.pdf">http://practicalaction.org/energy/markets-and-livelihoods/docs/ia2/mapping_the_market_albu_griffith_se_dj-june2006.pdf</a></p>
Institutional Assessment	<p>Helps development workers improve their understanding of the role of local institutions. What is it they do? Who exactly do they serve and how? How do they change over time? How can they be strengthened and made more equitable? How can they be made more accessible for the poor?</p> <p>From an M&amp;E perspective this can be used to understand how a project has strengthened relationships over the life of the project.</p>	<p>IFAD – Local institutions and Livelihoods – Guidelines for Analysis <a href="http://www.imm.uk.com/PS/Main.aspx?projectid=ab082903-b23f-4587-92e8-8285aefe1a8b">http://www.imm.uk.com/PS/Main.aspx?projectid=ab082903-b23f-4587-92e8-8285aefe1a8b</a></p> <p>World Bank – Participatory Monitoring and Evaluation - <a href="http://siteresources.worldbank.org/INTPCENG/214574-">http://siteresources.worldbank.org/INTPCENG/214574-</a></p>

Tool	What is it used for?	Example of Sources of Detailed Guidance ( <i>website references included for the first reference and not duplicated</i> )
		<a href="http://1116505633693/20509339/communitybased.pdf">1116505633693/20509339/communitybased.pdf</a>
Stakeholder Influence Mapping	A tool to examine and visually display the relative influence that different individuals and groups have over decision-making.	IIED - Policy Power Tools - <a href="http://www.policy-powertools.org/Tools/Understanding/SIM.html">http://www.policy-powertools.org/Tools/Understanding/SIM.html</a>
Post Harvest Overview Manual (PHOM)	A resource book to understand what is happening in the post-harvest fishing sector, how this is changing, what the implications of the changes are, what is currently being done to address these change, and what needs to be done.	IMM – Post –Harvest Overview Manual <a href="http://www.imm.uk.com/DS/View.aspx?id=77f1a2c7-69e9-4c70-b48d-1917581af23c">http://www.imm.uk.com/DS/View.aspx?id=77f1a2c7-69e9-4c70-b48d-1917581af23c</a>
Post Harvest Livelihood Assessment Tool (PHLAT)	<p>PHLAT provides tools that can helps researchers to:</p> <ul style="list-style-type: none"> <li>• Identify who and where poor and vulnerable stakeholders are in the sector;</li> <li>• Understand different perceptions and key characteristics of poverty in the sector;</li> <li>• Understand and analyse the livelihoods of the poor in the sector;</li> <li>• Identify strengths, weaknesses of poor people’s livelihoods in the sector and the opportunities for development and threats that affect these;</li> <li>• Provide information and direction to assist in the development and targeting of pro-poor plans and interventions;</li> <li>• Encourage the involvement of the poor in wider decision making processes.</li> </ul>	IMM – Post-Harvest Livelihood Assessment Tool <a href="http://www.imm.uk.com/DS/Open.aspx?id=73c135f6-5e6c-46a5-8b2e-ba88bc6712a8">http://www.imm.uk.com/DS/Open.aspx?id=73c135f6-5e6c-46a5-8b2e-ba88bc6712a8</a>



## ANNEX 4: GOOD PROCESS CHECKLIST

This checklist is designed to be a tool for the RFLP project teams to systematically evaluate the quality of their process as they implement the RFLP.

Principle	Checklist
<b>a. Empowerment</b>	<ul style="list-style-type: none"> <li>• How has the intervention increased the choices that poor people have relating to fisheries and their livelihoods?</li> <li>• How has the intervention increased the ability of people to participate in decision making processes?</li> <li>• How has the intervention supported people to articulate their demands for change?</li> </ul>
<b>b. Partnerships</b>	<ul style="list-style-type: none"> <li>• To what extent have beneficiaries been involved in influencing the planning, implementation and monitoring of the initiative?</li> <li>• How is the private sector involved in the intervention?</li> <li>• How are government involved in the intervention?</li> <li>• What linkages are formed with other donors?</li> <li>• How does the intervention contribute to improved service delivery to the poor?</li> </ul>
<b>c. Focus on Strengths and Potential</b>	<ul style="list-style-type: none"> <li>• To what extent does the intervention build on the indigenous knowledge, skills, attitudes and relationships of the poor?</li> </ul>
<b>d. People Centred</b>	<ul style="list-style-type: none"> <li>• To what extent has the balance between people and what they produce been achieved?</li> <li>• To what extent have the indicators of success of the intervention been defined in terms of the priorities of the poor?</li> <li>• To what extent, and how, have the specific needs of women been incorporated?</li> <li>• To what extent have the old and the very young been included?</li> <li>• To what extent are other groups adversely affected by the intervention?</li> </ul>
<b>e. Holistic</b>	<ul style="list-style-type: none"> <li>• In what way is the complexity of the lives of the poor fully recognised and incorporated in the design of the intervention?</li> <li>• How are the multiple livelihood strategies of the poor incorporated and catered for?</li> <li>• In what ways does the intervention strengthen linkages between sectors?</li> </ul>
<b>f. Flexible and Adaptable</b>	<ul style="list-style-type: none"> <li>• In what ways does the intervention incorporate change?</li> <li>• How does it learn from that change?</li> </ul>
<b>g. Respecting Culture</b>	<ul style="list-style-type: none"> <li>• How has the intervention been adapted to incorporate local cultural values and concerns?</li> </ul>

<b>h. Transparency and Accountability</b>	<ul style="list-style-type: none"><li>• How has the information relating to progress and impact been adapted to meet the different needs of the stakeholder groups (including donors, government, communities, and other service providers)?</li><li>• To what extent, and how, have all beneficiaries been included in the dissemination of project outputs?</li></ul>
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